



I. Funding Goal and Summary

The Office of Energy Development (OED) will offer approximately \$600,000 for eligible Indiana entities involved in community energy conservation projects. CCC offers financial assistance to non-residential entities for projects that reduce an organization's energy consumption or displaces the use of traditional fuels. By diversifying energy sources and reducing energy consumption, grantees may reduce their exposure to fueling price shocks and improve their access to affordable, reliable energy. CCC grants provide funding from \$25,000 to \$100,000 for the implementation of highly leveraged, unique, and visible community energy conservation projects. OED seeks applications which:

- Leverage the participation and support of multiple community organizations and agencies
- Prioritize energy efficiency, energy conservation, renewable energy, and/or waste heat recovery
- Move beyond the planning stage with projects that are ready for implementation;
- Possess an innovative element, whether through unique partnerships, financing mechanisms, and/or educational value.

Applications are due October 30, 2015 at 5:00 PM ET.

II. Available Funding

- OED anticipates awarding approximately \$600,000 total. OED reserves the right to decrease or increase this amount. The maximum award per grant will be \$100,000.
- The grant funding source consists of 20% state funds and 80% funds from the US Department of Energy (US DOE)
- Only one proposal may be submitted by an applicant
- OED will fund up to 75% of a project's cost. The remainder must come from applicant cost-share and/or leveraged funds. However, projects that provide greater than a 25% match will be scored better.

III. Eligible Applicants

- Eligible applicants include any non-residential entity. However, State and Federal government agencies are ineligible to apply. Nonprofits must be classified as either a 501(c)(3) or 501(c)(6). Entities must provide proof of ownership or nonprofit status (i.e. Articles of Incorporation or proof of non-profit status) in Attachment 8 (see Page 11).
- All applicants must be registered to do business with the Indiana Secretary of State:
<http://www.in.gov/sos/business/>

IV. Eligible Projects

Project Requirements

- Projects must meet the following criteria:
 - o Project must be located in Indiana
 - o Project must demonstrate measurable improvements in energy efficiency or renewable energy, result in a reduction in energy demand, result in a decrease in fuel consumption or petroleum reduction, *or* implement an energy recycling process;
 - o Use commercially available technologies

- Be ready to move beyond the planning stage and be ready for implementation so that all grant
- Project must have a community partner and include an educational component
- Eligible costs must occur following award (tentatively November 2015), but before April 30, 2016. Projects that begin prior to award or that will not be completed by April 30, 2016 are not eligible
- All applicants must comply with local, state, and federal rules and regulations. To find out what permits may be necessary for your facility, contact the Indiana Department of Environmental Management at <http://www.in.gov/idem/5881.htm>.
- Buildings must be owned by the applicant or the applicant must obtain a letter from the building owner acknowledging his or her willingness to allow the applicant to make specific changes to the building.

Eligible technology

- Biomass
- Ground Source Heat Pumps (Geothermal) or Air Source Heat Pumps
- Energy efficiency, including building envelope projects such as HVAC or insulation
- Energy management systems
- Combined heat and power
- Solar energy, photovoltaic and solar thermal
- Wind energy

NEPA Review

Many projects that receive financial assistance from the US DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969-42 U.S.C. Section 4321 et seq. If selected for potential award, OED will work with the applicant to facilitate the NEPA review, if necessary. Please note that projects that involve significant ground disturbance may take longer to receive NEPA approval.

The following projects are categorically exempt from NEPA review, but projects larger than these will require NEPA review:

- Solar Electricity projects on existing rooftops and parking shade structures; or a 60kW system or smaller unit installed on the ground within the boundaries of an existing facility
- 20 kW or smaller Wind Turbines
- 20 kW (approximately 68,242.84 BTU/hr) or smaller Solar Thermal systems
- 5.5 tons of capacity or smaller Ground Source Heat Pumps
- 3 MMBTUs per hour or smaller Biomass Thermal System with appropriate Best Available Control Technologies

Community Partnerships:

As this is a community-based program, successful applicants should forge partnerships with at least one other entity. Applicants must formalize that relationship through a Memorandum of Understanding (MOU), which must be submitted with the grant application. At the very least, this MOU should address project financing, building usage, and responsibility for reporting to OED. Partnerships must be formalized prior to application. Sample partnerships include working with community groups to host solar or energy efficiency workshops, sharing project energy savings data for research purposes, or incorporating the energy project into a school's curriculum. Applicants are encouraged to be creative with their partnerships and do not need replicate the examples list above. Projects will be scored on how significant the partnerships are. Simply receiving a discount from a retailer or contractor is not considered a partnership, but rather a business transaction.

V. Eligible Costs

- The applicant is responsible for all costs and expenses associated with submitting this proposal. Administrative costs, such as those related to grant writing, project management, and grant reporting, will not be reimbursed.
- Equipment, engineering, site preparation, and installation costs are eligible.
- OED will fund up to 75% of a project's cost. The remainder must come from applicant cost-share and/or leveraged funds. However, projects that provide greater than a 25% match will be scored better.
 - o "Cost-share" are the applicant's own funds
 - o "Leveraged funds" are funds from another source, such as a community partner
 - o Ineligible leveraged funds:
 - Other state or federal funds
 - Tax incentives
 - Funds which are not a part of the actual project (i.e. "we spend \$500,000 on personnel costs each year")

VI. Application Process

Please submit your application package to grants@oed.in.gov by 5:00 PM ET on October 30, 2015. Title the email as *CCC Grant Final Application* with the applicant's name at the end. For example, *CCC Grant Final Application –Example Business*. Applications must be put into a [zip file](#) and attached to your email.

The application package includes the following:

1. Application Form
2. Project Narrative
3. Budget
4. Quotes and Literature for Selected Technology
5. Project Calculations
6. NEPA Questionnaire (if applicable)
7. SHPO Section 106 Assurance
8. Certifications and Assurances Signature Page
9. Organization Registration with Secretary of State
10. Installer Licensure

Application Package Guidelines

Each of the above items must be in its own file, titled as shown above with the applicant's name at the end. For example, the first file will be titled *1. Application Form – Example Applicant*. Each file, except for the Budget file, will be saved as a PDF. The Budget file should be saved as an Excel spreadsheet.

File 1: Application Form

This summary provides a snapshot of your project, and the form can be found on our website at <http://www.in.gov/oed/2645.htm>. The form asks for the applicant's DUNS number, which is a necessity to receive a federally funded grant.

DUNS Number: All applicants must have a DUNS number to be eligible. If your organization does not have a DUNS number, go to the [Dun & Bradstreet \(D&B\) online registration](#) to receive a number free of charge or call 1-800-234-3867. Please be aware that this process may take up to 10 days.

File 2: Project Narrative

Please provide a narrative summary of the proposed project. The project narrative may include charts, graphs, maps, photographs, and other pictorial presentations. Save it as a PDF.

The project narrative must include:

- Project Goals
 - o Define the project goals and describe how the proposed work plan will meet the project goals
- Project Activities (work plan)
 - o Discuss general condition, use, and location of building or complex where project is proposed
 - o Include a discussion of costs and financing arrangements
 - o Provide rationale for and description of the technologies selected
 - o Provide exact description of project activities (i.e. number of solar thermal panels to be installed, the amount of water to be heated, plumbing that will take place, etc.)
 - o Project Plan and Timetable – This section should outline month by month all the important activities or phases of the project, including any activities planned beyond the project period
- Relevance and Outcomes/Impacts
 - o Explain expected outcomes and/or impacts, including energy savings and cost savings
 - o Explain how this project connects to any other energy generation or energy efficiency efforts undertaken by the applicant

File 3: Budget

Please fill in the Budget Excel spreadsheet located on our website at <http://www.in.gov/oed/2645.htm>.

File 4: Quotes and Literature for Selected Technology

- Please provide a quote from each project installer and/or contractor to support your budget and grant request. Each quote needs to be on the company's letterhead, and quotes must clearly support the project budget. Please note that project management costs are not an eligible, reimbursable cost.
- Provide a fact sheet or brochure for the model of solar hot water heater you have selected
- Put all quotes and literature into one PDF

File 5: Project Calculations

Please document the calculations and assumptions made to calculate the energy savings and payback of the proposed project. If applicable, please provide a copy of the energy survey or audit that was used to inform calculations and project decisions.

File 6: NEPA Questionnaire (If Applicable)

All projects larger than 20 kW (approximately 68,242.84 BTU/hr) must be reviewed under the National Environmental Policy Act (NEPA) of 1969-42 U.S.C. Section 4321 et seq. Please attach your completed NEPA questionnaire so that if your project is selected to receive funds, we can quickly begin the NEPA review process. The NEPA questionnaire can be found on our website at www.in.gov/oed/2645.htm.

File 7: SHPO Section 106 Assurance

Please provide a copy of the letter received from the State Historic Preservation Office (SHPO), which indicates no significant finding of historic property or significant alteration to historic structures. If not in receipt of this letter, please provide a copy of the materials that you have sent to the SHPO for review. Failure to start this process by the time of application will deem the project ineligible for funding. Information on this process can be found on our website at www.in.gov/oed/2645.htm.

File 8: Certificate and Assurances Signature Page

Please provide a signed copy of the signature page (page 7 of the document found on our website at www.in.gov/oed/2645.htm.

File 9: Proof of Organization Registration with Secretary of State

Organizations can register at www.in.gov/sos/business/

File 10: Installer Certification and Licensure

Combine the following into one PDF:

- If using solar thermal, provide proof that the contractor is a licensed plumber in the State of Indiana or will that he or she will use a licensed plumber for the plumbing component of the project. A list of licensed plumbers can be found at the Indiana Professional Licensing Agency's web site: www.in.gov/pla/license.htm.
- Any other applicable certifications or licenses

VII. Award Process

Evaluation Criteria

The following criteria, among others, will be considered during the administrative and technical review:

- Organization overview and grant experience
- Project benefits to project partners and community
- Community partnership structure and collaboration
- Energy demand reductions or displacement of traditional energy sources
- Energy cost savings
- Short payback period
- Amount of cost-share and/or leveraged funds
- Public visibility and/or educational value of project, may include sharing best practices, workshops, and/or efforts to engage the general public
- Ability to start and complete project within the timeframe specified in this document
- Quality and clarity of application

Awards

- OED expects to notify awardees approximately 4 weeks after the close of the grant application period
- Partial funding can be awarded, and applicants awarded partial funding may not appeal the decision made by OED
- If awarded, the applicant must inform OED of refusal of funds within three days from original notification of award. Failure to notify OED of the refusal of funds will result in the applicant becoming ineligible for further application for grant funding

VIII. Awardee Responsibilities

While the below responsibilities, terms, and conditions are not exhaustive and intended to substitute for the awardee reading and understanding of the contract between their entity and the State of Indiana, they provide an example of the behavior and deliverables expected by OED and the U.S. Department of Energy.

Project Execution

If the applicant is approved by OED, the following steps will occur:

1. OED will notify the grantee of the reward offer, and the grantee has three days to accept the offer.
2. If NEPA review is required, OED will submit the grantee's NEPA questionnaire for the federal government to review. This process can take up to six weeks, and OED anticipates that a decision will be made by January 1, 2016.
3. OED will provide grantee with contract language to review.
4. As soon as the project receives NEPA approval, grantees can sign the contracts and return the signed contracts to OED.
5. OED will send the contract through the state approval process. This process takes up to six weeks.

Upon the grantee signing the contract, OED expects awardees to immediately begin their project by ordering equipment associated with the project as well as preparing the site of the project and obtaining any relevant permits or variances necessary for project installation to be completed. Do not wait until the executed contract is returned to start project activities, as the process can significantly delay your project. Delay in contract execution is not an allowable reason for a grantee's failure to complete project installation by the deadline stipulated in the contract. Any costs incurred in this period are at the grantee's risk if the agreement is not signed and returned in this time period.

6. Upon completing the State signature process, the grantee may submit invoices to OED to draw down grant funds.

Reporting Requirements

The following will be collected from each recipient:

- One report each quarter
- Final report due thirty days after grant's expiration

The specifics of reporting timelines and requirements will be explained further in the contract signed by the applicant upon award. Please see the table below for a list of potential reporting requirements:

Funds leveraged
Size of solar energy systems installed
Amount of solar energy generated (in kWh or BTUs)
Size of geothermal system installed
Amount of projected energy savings
Square footage of buildings retrofitted
Reduction in natural gas or electricity consumption

Failure to comply with the reporting requirement may result in repayment of the grant funds to OED as well as affect the viability of any future applications from the grantee.

Maintain Communication

The grant recipient shall maintain communication with the Office of Energy Development for the duration of the grant agreement. The grant recipient is obligated to report any changes in the project scope, budget, installation date etc. with OED as soon as they become aware of the changes. Failure of the grant recipient to report any changes in the activities, scope, or budget of their project once awarded constitutes a breach of contract on the part of the grant recipient and will jeopardize the receipt of grant monies. The grant recipient

shall acknowledge the financial support of OED by displaying the logo of OED on any webpage, media, or printed materials that mention the project.

Site Visits

The grant recipient shall allow OED to conduct project site visits when given (5) business days notice.

Modifications

Awardees must report to OED immediately if there is a change to the previously proposed activities, scope, or budget changes. The communication must occur prior to the modification and provide a rationale for proposed changes.

IX. Terms and Conditions:**Confidentiality of Information**

To the extent feasible and permissible by law, OED will honor an applicant's request that confidential information submitted to OED will remain confidential. OED will treat information as confidential only if: (i) the information is, in fact, protected confidential information such as trade secrets or privileged or confidential commercial or financial information; (ii) the information is specifically marked or identified as confidential by the applicant; (iii) the information is segregated and placed in a separate appendix to the application; and (iv) no disclosure of the information is required by law or judicial order. If the application results in award of a grant, the honoring of confidentiality of identified data shall not limit the right of OED to disclose the details and results of the grant to the general public. Each and every page containing proprietary data must be clearly identified and marked CONFIDENTIAL.

Indemnification

To the extent allowable by law, Applicant agrees to indemnify, defend, and hold harmless the State, its agents, officials, and employees from all claims and suits including court costs, attorney's fees, and other expenses caused by any act or omission associated with the submission of this application. The State shall **not** provide such indemnification to the applicant.

E-Verify

The enactment of Public Law 171-2011, codified as I.C. 22-5-1.7 imposes new requirements on contractors and grantees of the State of Indiana effective July 1, 2011. As a recipient of a contract/grant your business entity is required to enroll and participate in the E-Verify program to confirm the legal work status of your employees hired after the start date of your state contract.

E-Verify is part of the Illegal Immigration Reform and Immigration Responsibility Act of 1996 (P.L. 104-208) and is administered by the United States Department of Homeland Security (USDHS). The USDHS works with the Social Security Administration to verify the identity and eligibility of employees. E-Verify is **free** to use, but you must register with the USDHS to access the system.

As a condition of your contract/grant award, you must provide confirmation that you are enrolled in E-Verify. To learn more about E-Verify and to enroll, please visit: <https://e-verify.uscis.gov/enroll/> or www.dhs.gov/e-verify . Failure to comply with this requirement will be considered a material breach of contract and may lead to your agreement being terminated.